Section 2 - Department of Commerce IT Architecture Characteristics of Operating Units' Processes at Different Maturity Levels
Revision 1.1

Architecture Characteristics	Level 0: No Architecture	Level 1: Initial	Level 2 Under Development	Level 3: Defined	Level 4: Managed	Level 5: Optimizing
1. Architecture Process	Not established or does not exist.	Exists in ad-hoc or localized form or early draft form may exist. Some IT Architecture processes are defined. There is no unified architecture process across technologies or business processes. Success depends on individual efforts.	Being actively developed. Basic IT Architecture Process program is documented based on OMB Circular A-130 and Department of Commerce IT Architecture Guidance. The architecture process has developed clear roles and responsibilities.	The architecture is well defined and communicated to IT staff and business management with Operating Unit IT responsibilities. The process is largely followed.	IT Architecture process is part of the culture, with strong linkages to other core IT and business processes. Quality metrics associated with the architecture process are captured. These metrics include the cycle times necessary to generate IT Architecture revisions, technical environment stability, and time to implement a new or upgraded application or system.	Concerted efforts to optimize and continuously improve architecture process.
2. Architecture Development	No IT Architecture documentation to speak of.	IT Architecture processes, documentation and standards are established by a variety of ad hoc means and are localized or informal.	IT Vision, Principles, Business Linkages, Baseline, and Target Architecture are identified. Architecture standards exist, but not necessarily linked to Target Architecture. Technical Reference Model and Standards Profile framework established.	Gap Analysis and Migration Plan are completed. Architecture standards linked to Business Drivers via Best Practices, IT Principles and Target Architecture. Fully developed Technical Reference Model and Standards Profile. The architecture aligns with the DoC and Federal Enterprise Architectures.	IT Architecture documentation is updated on a regular cycle to reflect the updated IT Architecture. Business, Information, Application and Technical Architectures defined by appropriate de-jure and de-facto standards. The architecture continues alignment with the DoC and Federal Enterprise Architectures. An automated tool is used to improve the usability of the architecture.	Defined and documented IT Architecture metrics are used to drive continuous process improvements. A standards and waivers process is used to improve architecture development process improvements.

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3. Business Linkage	No linkage to business strategies or business drivers.	Minimal, or implicit linkage to business strategies or business drivers.	Explicit linkage to business strategies.	IT Architecture is integrated with capital planning and investment control and supports e-government. Explicit linkage to business drivers and information requirements.	Capital planning and investment control are adjusted based on the feedback received and lessons learned from updated IT Architecture. Periodic re-examination of business drivers.	Architecture process metrics are used to optimize and drive business linkages. Business involved in the continuous process improvements of IT Architecture.
4. Senior-Management Involvement	We do not need it. That won't work here. Everything is fine the way it is.	What is Architecture? Why do we need it? Limited management team awareness or involvement in the architecture process.	Management awareness of Architecture effort. Much nodding of heads. Occasional/ selective management team involvement in the architecture process with various degrees of commitment/ resistance.	Senior-management team aware of and supportive of the enterprise-wide architecture process. Management actively supports architectural standards.	Senior management reviews architecture and variances.	Senior-management team directly involved in the optimization of the enterprise-wide architecture development process and governance.
5. Operating Unit Participation	No part of Operating Unit participates or is involved with IT Architecture process.	Limited Operating Unit acceptance of the IT Architecture process. "We support the architecture process as long as it represents the standards we have already chosen. Standards will only inhibit our ability to deliver business value."	IT Architecture responsibilities are assigned and work is underway. There is a clear understanding of where the organization's architecture is at present time. Recognition that it is painful supporting too many kinds of technologies. Perhaps tired of distributing "not fully-developed or tested applications" to Operating Unit IT operations and support.	Most elements of Operating Unit show acceptance of or are actively participate in the IT Architecture process. Recognition that architectural standards can reduce integration complexity and enhance overall ability to Operating Unit IT to achieve business goals.	The entire Operating Unit accepts and actively participates in the IT Architecture process.	Feedback on architecture process from all Operating Unit elements is used to drive architecture process improvements.

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6. Architecture Communication	None.	Little communication exists about the IT Architecture process and possible process improvements. The DoC IT Architecture Web Page contains the latest version of the Operating Unit's IT Architecture documentation. May have been handed out to IT staff.	The Operating Unit Architecture Home Page, which can be accessed from the DoC IT Architecture Web Page is updated periodically and is used to document architecture deliverables. Few tools (e.g., office suite, graphics packages) are used to document architecture. Communication about architecture process via meetings, etc., may happen, but sporadic.	Architecture documents updated and expanded regularly on DoC IT Architecture Web Page. Tools are used to support maintaining architecture documentation. Periodic presentations to IT staff on Architecture content.	Architecture documents are updated regularly, and frequently reviewed for latest architecture developments/ standards. Regular presentations to IT staff on Architecture content. Organizational personnel understand the architecture and its uses.	Architecture documents are used by every decision maker in the organization for every IT-related business decision.
7. IT Security	No IT Security considerations in IT Architecture.	IT Security considerations are ad hoc and localized.	IT Security Architecture has defined clear roles and responsibilities.	IT Security Architecture Standards Profile is fully developed and is integrated with IT Architecture.	Performance metrics associated with IT Security Architecture are captured.	Feedback from IT Security Architecture metrics are used to drive architecture process improvements.

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8. Governance	None. Everyone does their own thing.	No explicit governance of architectural standards. Limited agreement with governance structure.	Governance of a few architectural standards (e. g. desktops, database management systems) and some adherence to existing Standards Profile. Variances may go undetected in the design and implementation phases. Various degrees of understanding of the proposed governance structure.	Explicit documented governance of majority IT investments. Formal processes for managing variances. Senior management team is supportive of enterprise-wide architecture standards and subsequent required compliance.	Explicit governance of all IT investments. Formal processes for managing variances feed back into IT Architecture. Senior-management team takes ownership of enterprise-wide architecture standards and governance structure.	Explicit governance of all IT investments. A standards and waivers process is used to improve architecture development and governance - process improvements.
9. IT Investment and Acquisition Strategy	No regard for Enterprise Architecture in formulation of strategic IT acquisition strategy by Operating Unit.	Little involvement of strategic planning and acquisition personnel in enterprise architecture process. Little or no adherence to existing Standards Profile.	Little or no formal governance of IT Investment and Acquisition Strategy. Operating Unit demonstrates some adherence to existing Standards Profile.	IT acquisition strategy exists and includes compliance measures to IT Enterprise Architecture. Operating Unit adheres to existing Standards Profile. RFQ, RFI and RFP content is influenced by the IT Architecture. Acquisition personnel are actively involved in IT Architecture governance structure. Cost-benefits are considered in identifying projects.	All planned IT acquisitions are guided and governed by the IT Architecture. RFI and RFP evaluations are integrated into the IT Architecture planning activities.	Operating Unit has no unplanned IT investment or acquisition activity.